

University of Leeds report to RCUK on expenditure of the block grant and compliance with open access requirements for the period from 1 April 2013 to 31 July 2014

Table 1: Expenditure of the RCUK block grant by publisher

<i>Publisher</i>	<i>Amount in sterling* including APCs, page & colour charges** and VAT</i>	<i>Number of articles published</i>
Wiley	76,215.20	38
Elsevier	45,029.04	22
ACS	19,389.34	12
OUP	13,758.00	7
Copernicus	12,851.46	11
PLoS	11,379.79	12
Springer	10,949.57	5
T&F	10,942.56	6
Nature	10,681.48	4
BioMed	8,509.50	6
Frontiers	5,509.08	6
BMJ	5,355.00	3
ASM	4,157.60	3
Royal Society	4,020.00	2
IOP	3,675.00	4
RSC	3,132.00	2
AMS	2,334.50	1
LWW	2,310.00	1
Research Media	2,160.00	1
CUP	2,034.00	1
Cell Press	1,860.22	1
Portland Press	1,800.00	1
De Gruyter	1,744.80	1
AIP	1,541.52	1
NAS	1,488.29	1
Future Medicine	1,387.20	2
EUP	1,200.00	1
IEEE	1,186.86	1
Landes Bioscience	1,010.46	1
IET	840.00	1
Mary Ann Liebert	775.94	1
Sage	729.60	6
MDPI	81.13	1
Total	***270,039.14	166

*Amounts may change due to currency fluctuations

** Total page, colour and other non-APC costs are £10,337.72

*** All papers were published between April 2013 and July 2014. £168,646.87 was paid from 2013-14 block grant and £101,392.26 from pre-paid APCs purchased using the BIS money.

Table 2: Other expenditure to achieve OA

Activity	Amount in sterling including VAT	Description
Ingest of publications to institutional repository	£20,690.09	Salaries for ingest staff
Systems development	£55,485.00	Salaries for systems integration, improvements to IR and publications database
OA advocacy	£1,628.95	OA week activities, workshops and presentations to researchers
Staff development	£2,574.03	Library staff training and development and participation in national OA initiatives e.g. JISC workshops/projects
APC administration	£25,718.29	Salaries
Prepaid APCs	£13,920.00	Advance payments to publishers to obtain discounts on APCs. This figure is the amount paid but as yet unused in these accounts

Block grant 2013-14	£443,593.00
Subtotal paid to publishers from 2013-14 block grant	£168,646.87
Subtotal of other expenditure	£120,016.36
Balance of 2013-14 block grant remaining	£154,929.77

Table 3: Compliance status of RCUK funded papers with Leeds author(s) published between 1st April 2013 and 31st July 2014

	Gold-Leeds paid	Gold-other	Green	Total
Fully compliant	125(75%)	117(75%)	95(32%)	337(54%)
Partially compliant CC-BY licence (gold) or appropriate embargo (green) but 1 or more other criteria not met	17(10%)	14(9%)	3(1%)	34(5%)
Not compliant (OA but no CC-BY licence (gold) Wrong embargo period (green))	14(9%)	19(12%)	8(3%)	41(7%)
Not compliant – not OA	5(3%)	0	192(64%)	197(32%)
Insufficient information to establish compliance	5(3%)	7(4%)	0	12(2%)
Total	166(100%)	157(100%)	298(100%)	621(100%)

As of 31st July 2014, 621 research outputs have been identified that are RCUK funded, with one or more Leeds author and published between 1st April 2013 and 31st July 2014. Publications were identified from the following data sources

- Web of Science
- Scopus
- University of Leeds Publications Database
- RoS
- Applications for RCUK block grant to pay for APCs

The figures in the table provide a snapshot of compliance at 31st July 2014. It is likely that the information about the number of Leeds publications is incomplete and underestimates the University's Research Council funded output. Over time, the compliance rate is likely to rise as more papers are added to open access repositories by authors or publishers. All the outputs identified are either journal articles or conference proceedings.

Of the 323 gold papers, in 166 instances APCs were paid for by the University of Leeds. The other 157 were either paid for by other institutions, or it is possible that no APCs were paid. Twenty four of the 31 partially compliant gold papers are MRC or ESRC funded and could be compliant if they were added to the appropriate subject or funder repository by the funder deadline. We have not yet finished analysing the embargo periods for the 203 non-compliant or partially compliant green papers but early indications are that most of these could become compliant if they are added to the institutional repository, PubMed Central or the ESRC catalogue as required by RCUK. Twenty papers have been identified so far that exceed the MRC embargo period of six months. Information about embargo periods was obtained from SherpaFACT and relates to the longer embargo periods permitted by RCUK during the transitional period to 2017.

Table 4: The gold OA papers identified in Table 3 have the following licences:

Licence: Creative Commons or equivalent	APCs paid for by Leeds	Other gold
CC-BY	142	131
CC-BY-NC	5	9
CC BY NC ND	6	4
Unknown – insufficient information on publisher website to establish licence used	7	13
Copyright retained by publisher	6	0
Totals	166	157

The University of Leeds will publish title level compliance information on gold Open Access at:

http://library.leeds.ac.uk/downloads/download/168/expenditure_on_article_processing_charges

